

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
**(Docket No. 12778US03)**

In the Application of:	)	<b>Electronically Filed on June 28, 2007</b>
	)	
Saliba	)	
	)	
Serial No.: 10/786,196	)	
	)	
Filed: February 25, 2004	)	
	)	
For: Method and Apparatus for Stock and Index	)	
Option Price Improvement, Participation, and	)	
Internalization	)	
	)	
Examiner: Jagdish N. Patel	)	
	)	
Group Art Unit: 3624	)	
	)	

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the following references be considered in the examination of the above-identified patent application.

Document	Publication Date	Name
U.S. 6,993,504	01/31/2006	Friesen
U.S. 7,212,999	05/01/2007	Friesen

This submission, is in no way intended as an admission that the listed references constitute prior art under any subsection of 35 U.S.C. § 102. Applicant expressly retains the right to take any actions necessary to remove the references from the available prior art.

Consideration of the references in the examination of the present patent application is respectfully requested.

No fee is believed to be due because it is believed that this statement is being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,

Dated: June 28, 2007

/Joseph M. Butscher/  
Joseph M. Butscher  
Reg. No. 48,326

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	10/786,196
				Filing Date	February 25, 2004
				First Named Inventor	Saliba
				Group Art Unit	3624
				Examiner Name	Jagdish N. Patel
				Attorney Docket Number	12778US03
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initial*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	A1	6,993,504	01-31-2006	Friesen	
	A2	7,212,999	05-01-2007	Friesen	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				

OTHER ART -- NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

EXAMINER SIGNATURE		DATE CONSIDERED	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1800-786-9199) and select option 2.*